

EXPRESS MAIL NO.: EV064838755US

PTO/SB/01A (10-00).

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DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN APPLICATION DATA SHEET (37 CFR 1.76)

Title of Invention**COMPOSITIONS AND METHODS FOR THE THERAPY AND
DIAGNOSIS OF BREAST CANCER**

As the below named inventor(s), I/we declare that:

This declaration is directed to:

- ☐ The attached application, or
☒ Application No. 10/079,137, filed on February 20, 2002,
☐ as amended on _____ (if applicable);

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including material information which became available between the filing date of the prior application and the National or PCT International filing date of the continuation-in-part application, if applicable; and

All statements made herein of my/our own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

FULL NAME OF INVENTOR(S)Inventor one: Tony N. FrudakisCitizen of: US

Signature: _____

Date: _____

Inventor two: Steven G. ReedCitizen of: USSignature: X Date: X 16 April 2002Inventor three: John M. SmithCitizen of: US

Signature: _____

Date: _____

Inventor four: Lynda E. MisherCitizen of: USSignature: X Date: X 4/24/02

☒ Additional inventors are being named on 1 additional form attached hereto.

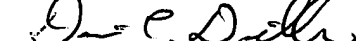
Burden Hour Statement: This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is used by the public to file (and the PTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 1 minute to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231. Docket No. 210121.419C13

DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN APPLICATION DATA SHEET (37 CFR 1.76)

ADDITIONAL INVENTOR(S) Supplemental Sheet

Page 2 of 2

FULL NAME OF INVENTOR(S)

Inventor five Davin C. Dillon Citizen of: USSignature:  Date: 4/12/02Inventor six Marc W. Retter Citizen of: USSignature:  Date: 4/17/02Inventor seven Aijun Wang Citizen of: People's Republic of ChinaSignature:  Date: 4/15/02Inventor eight Yasir A. W. Skeiky Citizen of: Lebanon and CanadaSignature:  Date: 4/19/02Inventor nine Susan L. Harlocker Citizen of: USSignature:  Date: 4/12/02Inventor ten Craig H. Day Citizen of: USSignature:  Date: 4/15/2002Inventor eleven Samuel X. Li Citizen of: USSignature:  Date: 4/17/2002Inventor twelve Ta Deng Citizen of: People's Republic of ChinaSignature:  Date: 4/17/2002
☐ Additional inventors are being named on _____ additional form(s) attached hereto.

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**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION
USING AN APPLICATION DATA SHEET (37 CFR 1.76)**

Title of Invention

**COMPOSITIONS AND METHODS FOR THE THERAPY AND
DIAGNOSIS OF BREAST CANCER**

As the below named inventor(s), I/we declare that:

This declaration is directed to:

- ☐ The attached application, or
☒ Application No. 10/079,137, filed on February 20, 2002,
☐ as amended on _____ (if applicable);

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including material information which became available between the filing date of the prior application and the National or PCT International filing date of the continuation-in-part application, if applicable; and

All statements made herein of my/our own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

FULL NAME OF INVENTOR(S)

Inventor one: Tony N. Frudakis

Citizen of: US

Signature: 

Date: 5/2/02

Inventor two: Steven G. Reed

Citizen of: US

Signature: _____

Date: _____

Inventor three: John M. Smith

Citizen of: US

Signature: _____

Date: _____

Inventor four: Lynda E. Misher

Citizen of: US

Signature: _____

Date: _____

☒ Additional inventors are being named on 1 additional form attached hereto.

Burden Hour Statement: This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.83. The information is used by the public to file (and the PTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 1 minute to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231. Docket No. 210121.419C13



EXPRESS MAIL NO.: EV064838755US

PTO/SB/01A (10-00).

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DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN APPLICATION DATA SHEET (37 CFR 1.76)

Title of Invention**COMPOSITIONS AND METHODS FOR THE THERAPY AND
DIAGNOSIS OF BREAST CANCER**

As the below named inventor(s), I/we declare that:

This declaration is directed to:

- ☐ The attached application, or
☒ Application No. 10/079,137, filed on February 20, 2002,
☐ as amended on _____ (if applicable);

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including material information which became available between the filing date of the prior application and the National or PCT International filing date of the continuation-in-part application, if applicable; and

All statements made herein of my/our own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

FULL NAME OF INVENTOR(S)Inventor one: Tony N. FrudakisCitizen of: US

Signature: _____

Date: _____

Inventor two: Steven G. ReedCitizen of: US

Signature: _____

Date: _____

Inventor three: John M. SmithCitizen of: USSignature: Date: 05-20-2002Inventor four: Lynda E. MisherCitizen of: US

Signature: _____

Date: _____

☒ Additional inventors are being named on 1 additional form attached hereto.

Burden Hour Statement: This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is used by the public to file (and the PTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 1 minute to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.
Docket No. 210121.419C13

Please type a plus sign (+) inside this box →



EXPRESS MAIL NO. EV064838755US

PTO/SB/81 (10-00)

Approved for use through 10/31/2002. OMB 0651-0035

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

ELECTION AND POWER OF ATTORNEY OR AUTHORIZATION OF AGENT	Application Number	10/079,137
	Filing Date	February 20, 2002
	First Named Inventor	Tony N. Fridakis
	Group Art Unit	
	Examiner Name	
	Attorney Docket Number	210121.419C13

I hereby appoint:

☒ Practitioners at Seed IP Law Group PLLC

OR

☐ Practitioner(s) named below:



Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

☐ The above-mentioned Customer Number.

OR

☐ Firm or
Individual Name

Address

Address

City

State

ZIP

Country

Telephone

Fax

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.

Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

☒ As assignee of record of the entire interest I/we hereby elect, under 37 C.F.R. § 3.71, to prosecute the application to the exclusion of the inventor.

SIGNATURE of Applicant or Assignee of Record

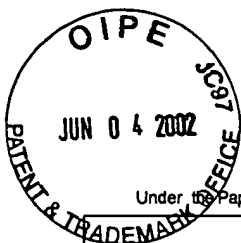
Name	Kathleen Nora McKereghan
Signature	
Date	24 May 2002

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

☐ *Total of _____ forms are submitted.

Burden Hour Statement: This form is estimated to take 3 minutes to complete. Time will vary depending upon the needs of the individual case. Any Comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

266610 [01-14-01]



EXPRESS MAIL NO. EV064838755US

PTO/SB/96 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: T ny N. Frudakis et al.

Application No./Patent No.: 10/079,137 Filed/Issue Date: February 20, 2002

Entitled: COMPOSITIONS AND METHODS FOR THE THERAPY AND DIAGNOSIS OF
BREAST CANCER

Corixa Corporation

(Name of Assignee)

a

corporation

(Type of Assignee, e.g., corporation, partnership,
university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above.
The assignment was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the
current assignee as shown below:

1. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached

2. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached

3. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be
submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records
of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

24 May 2002
Date

Kathleen Nora McKereghan

Typed or printed name

Kathleen Nora McKereghan
Signature

Senior Vice President, General Counsel
and Secretary

Title

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual
case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S.
Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:
Commissioner for Patents, Washington, DC 20231.

Docket No. 210121.419C13

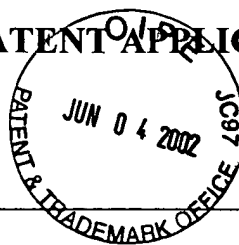
266629 [09-14-01]

COPY

Express Mail EV064838755US

ASSIGNMENT OF UTILITY PATENT APPLICATION

WHEREAS, we,



Name	Post Office Address	
Tony N. Frudakis	7937 Broadmoor Pines Boulevard, Sarasota, Florida 34243	;
Steven G. Reed	2843 122 nd Place Northeast, Bellevue, Washington 98005	;
John M. Smith	1101 Pierce Terrace Northeast, Columbia Heights, Minnesota 55421	;
Lynda E. Misher	5043 16 th Avenue Northeast, Seattle, Washington 98105	;
Davin C. Dillon	18112 Northwest Montreux Drive, Issaquah, Washington 98027	;
Marc W. Retter	33402 Northeast 43 rd Place, Carnation, Washington 98014	;
Aijun Wang	3106 213 th Place Southeast, Issaquah, Washington 98029	;
Yasir A. W. Skeiky	15106 Southeast 47 th Place, Bellevue, Washington 98006	;
Susan L. Harlocker	7522 - 13 th Avenue Northwest, Seattle, Washington 98117	;
Craig H. Day	19020 Wallingford Avenue North, Shoreline, Washington 98133-4124	;
Samuel X. Li	3608 175 th Court Northeast, Redmond, Washington 98052	; and
Ta Deng	18209 76 th Avenue West, Edmonds, Washington 98026	,

(hereinafter referred to as ASSIGNORS), having post office addresses as listed above next to our names, are the joint inventors of an invention entitled

COMPOSITIONS AND METHODS FOR THE THERAPY AND DIAGNOSIS OF BREAST CANCER

which is described and claimed in the specification and claims of continuation-in-part (C-I-P) Patent Application No. 10/079,137, as filed in the United States Patent and Trademark Office on February 20, 2002 ("this application") for which a patent is sought. This application derives benefit from the following application(s):

U.S. Parent Application or PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number	Attorney Docket Number
09/924,400	08/07/2001		210121.419C12
09/810,936	03/16/2001		210121.419C11
09/699,295	10/26/2000		210121.419C10
09/590,583	06/08/2000		210121.419C9
09/577,505	05/24/2000		210121.419C8
09/534,825	03/23/2000		210121.419C7
09/429,755	10/28/1999		210121.419C6
09/289,198	04/09/1999		210121.419C5
09/062,451	04/17/1998	6,344,550	210121.419C4
08/991,789	12/11/1997	6,225,054	210121.419C3
08/838,762	04/09/1997	ABN	210121.419C2
08/700,014	08/20/1996	ABN	210121.419C1
08/585,392	01/11/1996	ABN	210121.419

WHEREAS, Corixa Corporation (hereinafter referred to as ASSIGNEE), a corporation of the State of Delaware having a place of business at 1124 Columbia Street, Suite 200, Seattle, Washington 98104, is desirous of acquiring the entire right, title and interest in and to said invention, this application, and in and to any Letters Patent that may be granted therefor in the United States and in any and all foreign countries;

NOW, THEREFORE, in exchange for good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNORS hereby sell, assign and transfer unto said ASSIGNEE, the entire right, title and interest in and to said invention, this application and any and all Letters Patent which may be granted therefor in the United States of America and its territorial possessions and in any and all foreign countries, and in any and all divisions, reissues

and continuations thereof, including the right to file foreign applications directly in the name of ASSIGNEE and to claim priority rights deriving from this application and said parent application(s) to which said foreign applications are entitled by virtue of international convention, treaty or otherwise; said invention, this application and all Letters Patent on said invention to be held and enjoyed by ASSIGNEE and its successors and assigns for their use and benefit and of their successors and assigns as fully and entirely as the same would have been held and enjoyed by ASSIGNORS had this assignment, transfer and sale not been made.

ASSIGNORS hereby authorize and request the Director of the Patent and Trademark Office to issue said United States Patent to ASSIGNEE, of the entire right, title and interest in and to the same, for its sole use and benefit, and for the use and behalf of its legal representatives, to the full end of the term for which said Patent may be granted, as fully and entirely as the same would have been held by us had this assignment and sale not been made.

ASSIGNORS agree to execute all instruments and documents required for the making and prosecution of applications for United States and foreign Patent on said invention, for litigation regarding said Patent, or for the purpose of protecting title to said invention or Patent therefor.

5/2/02 T-N
Date Signature of Tony N. Frudakis

State of FLORIDA)
County of SARASOTA) ss.

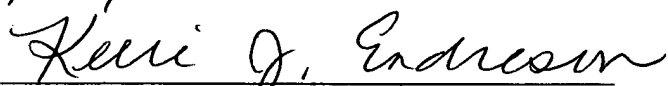
I certify that I know or have satisfactory evidence that Tony N. Frudakis is the person who appeared before me, and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.

Dated _____
Signature of _____
Notary Public _____
Printed Name _____
My appointment expires _____

14 April 2002 
Date Signature of Steven G. Reed

State of WASHINGTON)
) ss.
County of KING)

I certify that I know or have satisfactory evidence that Steven G. Reed is the person who appeared before me, and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.

Dated 4/16/2002
Signature of Notary Public 
Printed Name Kelli J. Endreson
My appointment expires 12/20/2003

Date Signature of John M. Smith

State of _____)
) ss.
County of _____)

I certify that I know or have satisfactory evidence that John M. Smith is the person who appeared before me, and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.

Dated _____
Signature of Notary Public _____
Printed Name _____
My appointment expires _____

Date Signature of Steven G. Reed

State of _____)
County of _____) ss.

I certify that I know or have satisfactory evidence that Steven G. Reed is the person who appeared before me, and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.

Dated _____
Signature of
Notary Public _____
Printed Name _____
My appointment expires _____

5-20-2002
Date Signature of John M. Smith

State of MN)
County of Anoka) ss.

I certify that I know or have satisfactory evidence that John M. Smith is the person who appeared before me, and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.

Dated 5-20-02
Signature of
Notary Public Antoinette Moore
Printed Name Antoinette Moore
My appointment expires _____

ANTOINETTE S. MOORE
NOTARY PUBLIC OF NEW JERSEY
My Commission Expires Sept. 5, 2006

4/25/02
Date
Lynda E. Misher
Signature of Lynda E. Misher
State of WASHINGTON)
) ss.
County of KING)

I certify that I know or have satisfactory evidence that Lynda E. Misher is the person who appeared before me, and said person acknowledged that she signed this instrument and acknowledged it to be her free and voluntary act for the uses and purposes mentioned in the instrument.

Dated April 25, 2002
Signature of Notary Public Deirdre I. Bryan
Printed Name DEIRDRE I. BRYAN
My appointment expires 9/1/02

4/12/02
Date
Davin C. Dillon
Signature of Davin C. Dillon
State of WASHINGTON)
) ss.
County of KING)

I certify that I know or have satisfactory evidence that Davin C. Dillon is the person who appeared before me, and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.

Dated April 12, 2002
Signature of Notary Public Deirdre I. Bryan
Printed Name DEIRDRE I. BRYAN
My appointment expires 9/1/02

Date 4/17/02 Signature of Marc W. Retter Marc W. Retter

State of WASHINGTON)
County of KING) ss.

I certify that I know or have satisfactory evidence that Marc W. Retter is the person who appeared before me, and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.

Dated 4/17/2002
Signature of Notary Public Kelli J. Endreson
Printed Name Kelli J. Endreson
My appointment expires 12/20/2003

Date 4/15/02 Signature of Aijun Wang Aijun Wang

State of WASHINGTON)
County of KING) ss.

I certify that I know or have satisfactory evidence that Aijun Wang is the person who appeared before me, and said person acknowledged that she signed this instrument and acknowledged it to be her free and voluntary act for the uses and purposes mentioned in the instrument.

Dated 4/15/02
Signature of Notary Public Kelli J. Endreson
Printed Name Kelli J. Endreson
My appointment expires 12/20/2003

Date 4/19/02 Signature of Yasir A. W. Skeiky
State of WASHINGTON)
County of KING) ss.

I certify that I know or have satisfactory evidence that Yasir A. W. Skeiky is the person who appeared before me, and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.

Dated 4/19/2002
Signature of Notary Public Kelli J. Endreson
Printed Name Kelli J. Endreson
My appointment expires 12/20/2003

Date 4/12/02 Signature of Susan L. Harlocker
State of WASHINGTON)
County of KING) ss.

I certify that I know or have satisfactory evidence that Susan L. Harlocker is the person who appeared before me, and said person acknowledged that she signed this instrument and acknowledged it to be her free and voluntary act for the uses and purposes mentioned in the instrument.

Dated April 12, 2002
Signature of Notary Public Deirdre I. Bryan
Printed Name DEIRDRE I. BRYAN
My appointment expires 9/1/02

4/15/2002
Date

Craig H. Day
Signature of Craig H. Day

State of WASHINGTON)

County of KING)

ss.

I certify that I know or have satisfactory evidence that Craig H. Day is the person who appeared before me, and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.

Dated 4/15/2002

Signature of Notary Public Kelli J. Endreson

Printed Name Kelli J. Endreson

My appointment expires 12/20/2003

4/17/2002
Date

Samuel X. Li
Signature of Samuel X. Li

State of WASHINGTON)

County of KING)

ss.

I certify that I know or have satisfactory evidence that Samuel X. Li is the person who appeared before me, and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.

Dated 4/17/2002

Signature of Notary Public Kelli J. Endreson

Printed Name Kelli J. Endreson

My appointment expires 12/20/2003

4/17/02
Date
Ta Deng
Signature of Ta Deng
State of WASHINGTON)
County of KING) ss.

I certify that I know or have satisfactory evidence that Ta Deng is the person who appeared before me, and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.

Dated 4/17/2002
Signature of Notary Public Kerli J. Endreson
Printed Name Kerli J. Endreson
My appointment expires 12/20/2003

210121.419C13
266631